



010-2161

PATENT
0505-4016

#4
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11-14-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2161

Examiner:

Serial No.: 09/801,490

Confirmation No.: 4750

Title: AUTOMATED PRICE SETTING FOR PAIRED ORDERS

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CERTIFICATE OF MAILING

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement
2. PTO Form 1449
3. Copies of 37 references
4. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance
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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

☒ before the mailing date of a first Office Action on the merits.

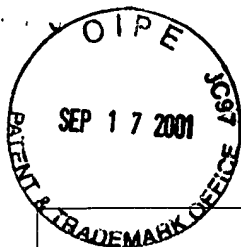
Respectfully submitted,

Date: September 14, 2001

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Brenda Pomerance

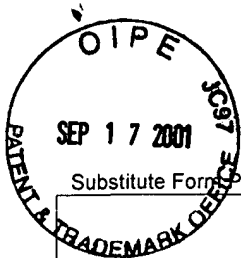
Brenda Pomerance
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INFORMATION DISCLOSURE STATEMENT	Application No.	09/801,490
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2161
	Examiner	TBA
Sheet 2 of 2	Atty. Docket No.	0505-4016

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (v)
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature		Date Considered	
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Substitute Form PTO 1449

INFORMATION DISCLOSURE STATEMENT	Application No.	09/801,490
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2161
	Examiner	TBA
Sheet 1 of 2	Atty. Docket No.	0505-4016

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA	6134535		Belzberg	10-17-2000	
	AB	6105005		Fuhrer	08-15-2000	
	AC	6092056		Tull, Jr. et al.	07-18-2000	
	AD	6035287		Stallaert et al.	03-07-2000	
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Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (√)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature		Date Considered	
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